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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q64153

Tomoya SAEKI

Appln. No.: 09/838,319

Group Art Unit: 2161

Confirmation No.: Unknown

Examiner: Unknown

Filed: April 20, 2001

For: PERSONAL AUTHENTICATION SYSTEM, AND PERSONAL AUTHENTICATION  
METHOD AND PROGRAM USED THEREFOR

RECEIVED  
JAN 12 2004  
GROUP 3600

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby  
notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached  
PTO/SB/08 A & B (modified) form and listed herein and which the Examiner may deem  
material to patentability of the claims of the above-identified application.

1. Japanese Unexamined Patent Application Publication No. H09-319927, published  
December 12, 1997.
2. Japanese Unexamined Patent Application Publication No. H11-73467, published  
March 16, 1999.
3. Japanese Unexamined Patent Application Publication No. H11-339106, published  
December 10, 1999.

# INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 09/838,319

4. Japanese Unexamined Patent Application Publication No. H11-167553, published June 22, 1999.
5. Japanese Unexamined Patent Application Publication No. 2000-40156, published February 8, 2000..
6. Dokodemo Bank, Nikkei Pasokon, Japan, Nikkei BP Publishing Co., Ltd., May 3, 1999 Vol. 336 Pages 180-181.
7. International Patent Publication No. 98/050875, published November 12, 1998.
8. Japanese Unexamined Patent Application Publication No. H10-312437, published November 24, 1998.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses here with a copy of a corresponding Japanese Office Action dated October 14, 2003 and an English translation of the pertinent portions thereof which cites such documents and indicates the degree of relevance found by the foreign office.


The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not

INFORMATION DISCLOSURE STATEMENT  
U.S. Appln. No.: 09/838,319

waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,

  
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WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: January 8, 2004



PATENT APPLICATION

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STATEMENT UNDER 37 C.F.R. § 1.97(e)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed  
concurrently herewith was first cited in any communication from a foreign patent office in a  
counterpart foreign application not more than three months prior to the filing of said Information  
Disclosure Statement.

Respectfully submitted,

Howard L. Bernstein  
Registration No. 25,665

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Claims 1 through 6

Prior Art Literature 1	Japanese Unexamined Patent Application Publication H09-319927
Prior Art Literature 2	Japanese Unexamined Patent Application Publication H11-73467
Prior Art Literature 3	Japanese Unexamined Patent Application Publication H11-339106
Prior Art Literature 4	Japanese Unexamined Patent Application Publication H11-167553
Prior Art Literature 5	Japanese Unexamined Patent Application Publication 2000-40156
Prior Art Literature 6	Dokodemo Bank, Nikkei Pasokon, Japan, Nikkei BP Publishing, Co., Ltd. 5/3/1999 Vol. 336 Pages 180-181.

Remarks

Regarding Claims 1, 2, 4 through 6, 15, 16, and 18 through 20;

As a technology for personal identification without using a card, Prior Art Document 1 discloses a technology in which iris information (which corresponds to the "authorization information" in the subject application) and account information that corresponds to the iris information are registered in the memory of a center terminal (which corresponds to the "database" in the subject application) at a financial facility, which is a facility to provide the service, and upon a transaction, the iris information is extracted to identify the person and then the transaction is carried out. In addition, technologies that make notification of the transaction history (which corresponds to the "fee processing history" in the subject application) only to a designated person through a homepage or an e-mail are publicly known as disclosed in Prior Art Documents 2, 3 and 6. Hence, a person skilled in the art could have easily arrived at the invention of Claims 1, 2, 4 through 6, 15, 16 and 18 through 20 by having a structure that makes notification of the transaction history via e-mail based on the technology disclosed in Prior Art Document 1, which is common for the point of managing the account information on a computer.

Regarding Claims 3 and 17;

Technologies that use fingerprints, voice prints and passwords in authorization technology (for example as disclosed in Prior Art Documents 4 and 5) are publicly known, and therefore it is within the range of design variation for a person skilled in the art to merely using fingerprints, voice prints or passwords in the technology disclosed in Prior Art Document 1, which have in common the fact that personal identification is carried out based on the authorization information.

Regarding Claims 7 through 14 and 21 through 28;

A person skilled in the art could have been easily arrived at the invention, which is an application of the technology disclosed in the above Prior Art Document 1 to authorization at a ticketing gate, a public phone, a hospital window or public agency, which are facilities that are publicly known to use authorization.

Record of Prior Art Literature Search Results

• Fields searched

IPC 7th Edition G06F 15/00  
IPC 7th Edition G06F 17/60  
IPC 7th Edition G07C 9/00

▪ Prior art literature

WO-A2-98050875

Japanese Unexamined Patent Application Publication H10-312437

*Complete if Known*

*(use as many sheets as necessary)*

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of

1

Application Number	09/838,319
Confirmation Number	1014
Filing Date	April 20, 2001
First Named Inventor	Tomoya SAEKI
Art Unit	3621
Examiner Name	WORJLOH, JALATEE
Attorney Docket Number	Q64153

[illegible][illegible]

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		"INTERNET magazine," Japan, Impress Co., Ltd., 1 January 2000, No. 60, B039-B069	

**Date Considered**

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or follow the hyperlink from the title of the document to the intranet. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.